



GP/2812

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**CERTIFICATE OF MAILING (37 CFR 1.8(a))**

I hereby certify that this correspondence (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D. C. 20231, on September 24, 2002.

Signature: Marie Cerimeli

Marie Cerimeli

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:  
**Jiro Kajiwara et al.**

Serial No.: **09/874,174**

Filed: **June 4, 2001**

For: **CHEMICAL MECHANICAL  
POLISHING APPARATUS AND  
METHOD HAVING A RETAINING  
RING WITH A CONTOURED SURFACE**

Examiner: **Unknown**

Group: **2812**

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**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
TRANSMITTAL**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

Transmitted herewith is:

- ☒ a Supplemental Information Disclosure Statement
- ☒ Form PTO-08A
- ☒ Copies of each cited references listed on form PTO-08A
- ☐ English translation of foreign language reference(s)
- ☒ Copy of foreign examination report
- ☐ English translation of foreign examination report.
- ☐ Also transmitted is \_\_\_\_\_.

1. ☒ This Supplemental Information Disclosure Statement is filed before the later of:
  - A. three months from the filing date of this national application;
  - B. three months from the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or
  - C. the mailing date of a first Official Action on the merits.

In accordance with 37 CFR 1.97(b), no fee is required.

2. ☐ This Information Disclosure Statement is filed after the events noted in paragraph 1, but before either:
- A. a final action under 37 CFR 1.113, or
  - B. a Notice of Allowance under 37 CFR 1.311.

In accordance with 37 CFR 1.97(c) also submitted is:

- ☐ a fee under 37 CFR 1.17(p) in the amount of \$240.00; or
- ☐ a certification as stated below.

3. ☐ This Information Disclosure Statement is filed before the payment of the issue fee, but after either:
- A. a Final Action under 37 CFR 1.113, or
  - B. a Notice of Allowance under 37 CFR 1.311.

In accordance with 37 CFR 1.97(d) also submitted is:

- (1) A certification, as stated below; and
- (2) The Petition fee set forth in 37 CFR 1.17(i)(1) in the amount of \$130.00.
- (3) Applicant hereby petitions the Patent Office for entry and consideration of the Information Disclosure Statement submitted herewith.

#### Certification

The undersigned also states:

- ☐ Each item of information contained in the Information Disclosure Statement cited herein was cited in a communication from a foreign Patent Office in a counterpart foreign application not more than three months prior to the filing date of this Information Disclosure Statement; or
- ☐ No item of information contained in the Information Disclosure Statement submitted herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing date of this Information Disclosure Statement.

The fees indicated above are:

**TOTAL FEES: \$ 0.00**

- ☐ A check for the amount of TOTAL FEES indicated above is attached.
- ☐ The Commissioner is hereby authorized to charge \$\_\_\_\_\_ to cover the payment of the fee(s) indicated below to Deposit Account No. 50-2319.
- ☐ A check in the amount of \$\_\_\_\_\_ is attached.
- ☒ No fee is required.
- ☒ The Commissioner is hereby authorized to charge any underpayment of the following fees associated with this communication, including any necessary fees for extension of time, or credit any overpayment to Deposit Account No. 50-2319. (Order No. A-70092/MSS/WEN)

Respectfully submitted,

DORSEY & WHITNEY LLP



William E. Nuttle

Reg. No. 42,943

Date: September 24, 2002

Four Embarcadero Center, Suite 3400  
San Francisco, CA 94111-4187  
Telephone: (650) 494-8770  
Facsimile: (650) 494-8771



**CERTIFICATE OF MAILING (37 CFR 1.8(a))**

I hereby certify that this correspondence (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D. C. 20231, on September 24, 2002.

Signature: Marie Cerimeli  
Marie Cerimeli

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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POLISHING APPARATUS AND  
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RING WITH A CONTOURED SURFACE**

Examiner: **Unknown**  
  
Group: **2812**

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**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
SUBMITTED PRIOR TO THE FIRST OFFICIAL ACTION**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

This Supplemental Information Disclosure Statement is hereby submitted in accordance with 37 CFR 1.98 and pursuant to Applicant's continuing duty under 37 CFR 1.56 to bring any information which may be material to patentability of this application to the Examiner's attention.

Applicant makes no representation that a complete search has been conducted by the Applicant, or that there is not possibly more relevant art. Applicant also makes no representation that the information submitted herewith is in fact material.

- [X] The enclosed publications were cited in a foreign examination report in a related case. A copy of the search report and the cited references are attached hereto.
- [ ] The search report is not in the English language and a translation of the search report is enclosed.

- ☐ At least one of the enclosed publications is not in the English language.
- ☐ English translation(s) are enclosed.
- ☐ Enclosed is an explanation of the relevance of non-English publications for which an English translation is not available.
- ☐ The explanation is in the form of an English language search report.

The subject application is believed patentable over any of the references listed on the attached PTO Form 08A.

Respectfully submitted,

DORSEY & WHITNEY LLP



William E. Nuttle  
Reg. No. 42,943

Date September 24, 2002

Four Embarcadero Center, Suite 3400  
San Francisco, CA 94111-4187  
Telephone: (650) 494-8770  
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<b>Substitute for form 1449A/PTO</b> U.S. DEPARTMENT OF COMMERCE (Modified) PATENT AND TRADEMARK OFFICE  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				ATTY. DOCKET NO.: A-70092/RMA/WEN		APPLICATION NO.: 09/874,174	
				FIRST NAMED INVENTOR: Jiro Kjiwara			
				FILING DATE: June 4, 2001		ART UNIT: 2812	
Sheet	1	of	1	EXAMINER NAME:			

### U.S. PATENT OR PUBLISHED PATENT APPLICATION DOCUMENTS

EXAMINER INITIALS*	Cite No. <sup>1</sup>	DOCUMENT NUMBER	PUBLICATION DATE	Name of PATENTEE or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>3</sup> (if known)	MM-DD-YYYY		
		US-5,643,061	07-01-1997	Jackson et al.	
		US-6,116,992	09-12-2000	Prince	
		US-6,231,428	05-15-2001	Maloney et al.	
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### FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

EXAMINER INITIALS*	Cite No. <sup>1</sup>	DOCUMENT NUMBER	PUBLICATION DATE	Name of PATENTEE or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)	MM-DD-YYYY			
		EP 0786310 A <sup>1</sup>	07-30-1997	Ontrak Systems, Inc.		
EXAMINER SIGNATURE				DATE CONSIDERED		

\* EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>5</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>6</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.